Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

Headquarters Correspondence Management Office

Office Work Instruction

Correspondence Management

Approved by: _(Original Signed By)_____
Michael D. Christensen
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DOCUMENT HISTORY LOG

Status (Baseline/ Revision/ Canceled)	Document Revision	Effective Date	Description
Baseline		12/10/99	

Responsible Office: Headquarters Correspondence Management Office
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1. PURPOSE

The purpose of this procedure is to define the steps to be followed in managing and controlling the incoming correspondence, communications, and mail for the Office of the Administrator.

2. SCOPE AND APPLICABILITY

2.1 The scope of this OWI covers the daily process performed by the Headquarters Correspondence Management Office (HCMO), Code CIC, for managing, controlling and tracking incoming communications requiring responses, as well as those actions initiated by the Administrator, Deputy Administrator, or Associate Deputy Administrator.

2.2 This OWI applies to the HCMO.

3. DEFINITIONS

3.1 A. Administrator (A). Code designation for the Office of the Administrator. (For the purposes of this document, A also refers to the Principals in the Office of the Administrator.)

3.2 ADS. Action Document Summary (NHQ Form 117)—used for routing correspondence indicating Associate Administrators' concurrences.

3.3 AI. Associate Deputy Administrator (ADA). Code designation for the Associate Deputy Administrator (ADA).

3.3 Action Office. The accountable Headquarters office responsible for providing response to controlled document.

3.4 Analyst. HCMO employee who performs daily tasks related to tracking of mail for Principals in the Office of the Administrator.

3.5 CCL. Correspondence Control Liaison—the Action Office's designated person to facilitate smooth and efficient flow of communications for controlled documents assigned to the Action Office by HCMO. The CCL maintains suspense and due date data.

3.6 CIC. Code designation for HCMO.

3.7 Controlled Document. Incoming mail that is logged into HATS, giving it a traceable number.

3.8 HATS. Headquarters Action Tracking System—an electronic database.

3.9 HCMO. Headquarters Correspondence Management Office.

3.10 Info Office. Headquarters office receiving copy of controlled document for information only.

3.11 NHB. NASA Handbook—the document that details the organizational structure, defines terms, and sets forth policy and requirements for establishing, modifying, and documenting that structure and assigning responsibilities.

3.12 NHQ. NASA Headquarters.

Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

3.13   NPG. NASA Procedures and Guidelines—the detailed instructions implementing NASA policy.

3.14   Principals. The Agency's top-level officials who work directly for the Administrator within Code A.

3.15   Progress Note. Dated annotation in HATS, detailing location of package, status of action being taken, and by whom.

3.16   SOP.   Standard Operating Procedure.

3.17   QCL. Quality Control Liaison—the Action Office's designated person to facilitate the smooth and efficient flow of communications for all controlled documents and packages requiring the signature of the Principals of the Office of the Administrator. The QCL reviews the final document and ensures that it conforms with NPG 1450 prior to submitting it to the HCMO.

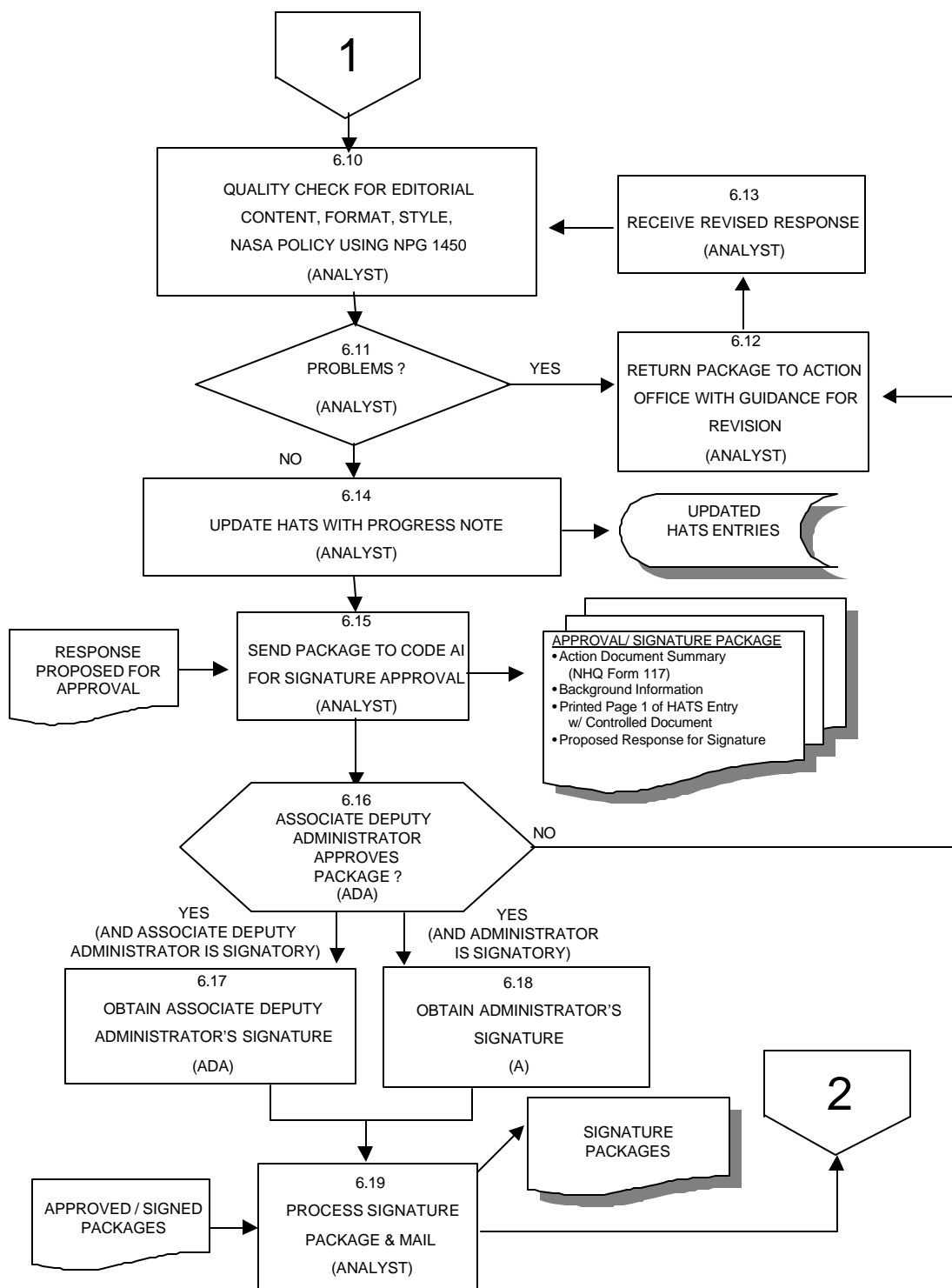## 4.   REFERENCE DOCUMENTS

4.1   NPG 1450   NASA Correspondence Management and Communications Standards and Style

4.2   NHB 1101   The NASA Organization

4.3   NHQ Form 117 Action Document Summary

4.4   CIC SOP   A living document which provides detailed guidance for HCMO

Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

5.   Flowchart

Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

1

6.10
QUALITY CHECK FOR EDITORIAL CONTENT, FORMAT, STYLE, NASA POLICY USING NPG 1450
(ANALYST)

6.13
RECEIVE REVISED RESPONSE
(ANALYST)

6.11
PROBLEMS ?
(ANALYST)

YES

NO

6.12
RETURN PACKAGE TO ACTION OFFICE WITH GUIDANCE FOR REVISION
(ANALYST)

6.14
UPDATE HATS WITH PROGRESS NOTE
(ANALYST)

UPDATED HATS ENTRIES

RESPONSE PROPOSED FOR APPROVAL

6.15
SEND PACKAGE TO CODE AI FOR SIGNATURE APPROVAL
(ANALYST)

APPROVAL/ SIGNATURE PACKAGE
• Action Document Summary (NHQ Form 117)
• Background Information
• Printed Page 1 of HATS Entry w/ Controlled Document
• Proposed Response for Signature

6.16
ASSOCIATE DEPUTY ADMINISTRATOR APPROVES PACKAGE ?
(ADA)

NO

YES
(AND ASSOCIATE DEPUTY ADMINISTRATOR IS SIGNATORY)

YES
(AND ADMINISTRATOR IS SIGNATORY)

6.17
OBTAIN ASSOCIATE DEPUTY ADMINISTRATOR'S SIGNATURE
(ADA)

6.18
OBTAIN ADMINISTRATOR'S SIGNATURE
(A)

2

SIGNATURE PACKAGES

APPROVED / SIGNED PACKAGES

6.19
PROCESS SIGNATURE PACKAGE & MAIL
(ANALYST)

Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

6.   Procedure

Step	Actionee	Action
6.0		Office of Administrator correspondence arrives and initiates the implementation of the management and control process.
6.1	Analyst	Open and read contents and determine responsible Action Office and Info Office(s), based on NHB 1101, as well as manage and control those actions initiated by Codes A or AI. The Analyst appointed to open the mail is determined by an intraoffice schedule, based on supervisory authority and judgment as to knowledge and capability to correctly determine and route.
6.2	Analyst	Determine disposition of mail by content, as stated in 6.1. Deliver mail to Analyst responsible for code-specific correspondence. Code responsibilities are assigned by the supervisor and are reflected in the CIC CCL and QCL Network schedule.
6.3	Analyst	Controlled? If Yes, go to 6.5; if No, go to 6.4. The determination of controlled vs. uncontrolled is based on certain criteria in accordance with NPG 1450. Incoming mail is deemed uncontrolled if one of the following elements is met: 1) If the Administrator is only copied, 2) item does not require direct response, 3) incoming is for info only, 4) incoming denotes appreciation only, 5) item is a followup to previously controlled correspondence not requiring further response, or 6) addressee is of a generalized form, e.g., Dear Colleague. If incoming does not meet one of the above, item is deemed "controlled" and handled via step 6.5. If there is any doubt, obtain guidance from supervisor.
6.4	Analyst	Stamp uncontrolled mail with "Uncontrolled" stamp and release to Action Office and Info Office(s). Make copies and distribute via codes' mailboxes in CIC. Action and Info Offices are determined, based on experience and knowledge. If in doubt, see supervisor.
6.5	Analyst	Determine response signature level. The choices will be at either the Administrator's level or that of an Associate Administrator. Correspondence is deemed to be at the Administrator's level if one of the following elements is met: 1) Signature level of incoming is equivalent to the Administrator, 2) incoming is from any Presidential Appointee, 3) incoming is from a Member of Congress, 4) incoming is from a Chairman of the Board, President, Chief Executive Officer, or Chief Operating Officer of a commercial entity, or 5) any special circumstances identified by management. Incoming correspondence not meeting any of the above criteria will be for the signature at the Associate Administrator's level. If any doubt, obtain guidance from supervisor.
6.6	Analyst	Enter action with suspense date (in accordance with NPG 1450) into control system (HATS, in accordance with CIC SOP, which establishes automated control number) and forward to Action or

Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

Info Offices for processing and response. Action Office was determined in 6.1. Info Offices are designated by subject content of correspondence (using organizational responsibilities in NHB 1101). The printed page 1 of HATS entry identifies the action as "controlled" correspondence and accompanies the correspondence through further processing. Print weekly Open/Overdue status reports from HATS and distribute to Action Offices and Associate Deputy Administrator to apprise them of suspense date status.

6.7	Analyst	Receive response from Action Office.
6.8	Analyst	Signature at Action Office level? If Yes, the action is ready for closeout, go to 6.9. If No, the response requires a Principal's signature, go to 6.10.
6.9	Analyst	Close out action in HATS and scan, in accordance with CIC SOP. Analyst prints closeout HATS entry; adds to closed correspondence package. Scans contents of the package and files paper copy. The closed correspondence package contains (as a minimum) 1) the closed HATS cover sheet with closeout HATS entries, 2) the response to controlled document (including supporting material), 3) the Action Document Summary (ADS) (NHQ Form 117), and 4) the incoming controlled document.
6.10	Analyst	Quality check for editorial content, format, style, and NASA policy, using NPG 1450.
6.11	Analyst	Problems? Based on quality checks and edits, if package contains problems, go to 6.12; if package is ready for further processing, go to 6.14.
6.12	Analyst	Return package to Action Office with guidance for revision and resubmission.
6.13	Analyst	Receive revised response from Action Office and reenters quality check process (step 6.10). Version control is maintained over previous iterations of response in accordance with CIC SOP.
6.14	Analyst	Update HATS with Progress Note.
6.15	Analyst	Send package to Code AI for signature approval after entering Analyst's initials and date forwarded on the ADS on the front of the signature package. The package also contains any background, copy of the controlled document, and the response (needing signature).
6.16	Associate Deputy Administrator	Associate Deputy Administrator approves package? If No, go to 6.12; if Yes, and Code AI has signature authority, go to 6.17. If Yes, and Code A is signatory, go to 6.18.
6.17	Associate Deputy Administrator	Obtain Associate Deputy Administrator's signature. Associate Deputy Administrator signs and returns package to Code CIC.
6.18	Associate Deputy	Obtain Administrator's signature. Associate Deputy Administrator

Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

	Administrator	approves package for the Administrator's signature. Administrator's signature is obtained, and package is returned to CIC.
6.19	Analyst	Process signature package and mail in accordance with CIC SOP. Return to 6.9 for final closeout.

Responsible Office: Headquarters Correspondence Management Office
Subject: Correspondence Management

7.   Quality Records

Record Identification	Owner	Location	Record Media: Electronic or Hard Copy	Schedule Number and Item Number (NPG 1441.1)	Retention/Disposition
Uncontrolled Incoming Correspon-dence	CIC	9Q42	Hard Copy	Schedule 1, Item 22C	Destroy when no longer needed.
Controlled Document	CIC	9Q42	Hard Copy	Schedule 1, Item 22A	Permanent. Retire to Federal Records Center (FRC) when 5 years old.
HATS	CIC	9Q42	Electronic	Schedule 1, Item 22A	Permanent. Retire to FRC when 5 years old.
Approval/ Signature Package	CIC	9Q42	Hard Copy	Schedule 1, Item 22A	Permanent. Retire to FRC when 5 years old.
Closed Correspon-dence Package	CIC	9Q42	Hard Copy	Schedule 1, Item 22A	Permanent. Retire to FRC when 5 years old.